

## Electronic Acknowledgement Receipt

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| <b>EFS ID:</b>                              | 2091073  |
| <b>Application Number:</b>                  | 09803153   |
| <b>International Application Number:</b>    |  |
| <b>Confirmation Number:</b>                 | 3267   |
| <b>Title of Invention:</b>                  | System and method for supporting odd lot trading |
| <b>First Named Inventor/Applicant Name:</b> | Takao Samukawa                                   |
| <b>Customer Number:</b>                     | 21171  |
| <b>Filer:</b>                               | Michael Aristo Leonard II/Brian Formagus         |
| <b>Filer Authorized By:</b>                 | Michael Aristo Leonard II                        |
| <b>Attorney Docket Number:</b>              | 1538.1012  |
| <b>Receipt Date:</b>                        | 16-AUG-2007                                      |
| <b>Filing Date:</b>                         | 12-MAR-2001                                      |
| <b>Time Stamp:</b>                          | 14:45:02   |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)                      |

### Payment information:

|   |        |
|---|--------|
| Submitted with Payment  | yes    |
| Payment was successfully received in RAM  | \$ 120 |
| RAM confirmation Number   | 8113   |
| Deposit Account   | 193935 |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:<br>Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17 |        |

### File Listing:

| Document Number   | Document Description   | File Name           | File Size(Bytes) /Message Digest                    | Multi Part /.zip | Pages (if appl.) |
|---|------------------------|---------------------|---|------------------|------------------|
| 1   |                        | 081607Amendment.pdf | 999173<br>2f1d5fa23c79f067b0b0f8f6604afa1663902264a | yes              | 19               |
| Multipart Description/PDF files in .zip description   |                        |                     |   |                  |                  |
| Document Description  |                        |                     | Start   | End              |                  |
| Fee Worksheet (PTO-06)  |                        |                     | 1   | 1                |                  |
| Amendment - After Non-Final Rejection   |                        |                     | 2   | 2                |                  |
| Claims  |                        |                     | 3   | 11               |                  |
| Applicant Arguments/Remarks Made in an Amendment  |                        |                     | 12  | 19               |                  |
| Warnings:   |                        |                     |   |                  |                  |
| Information:  |                        |                     |   |                  |                  |
| 2   | Fee Worksheet (PTO-06) | fee-info.pdf        | 8157<br>2d54236e4144c9065b9a00a8d6a77ae78113ab0f    | no               | 2                |
| Warnings:   |                        |                     |   |                  |                  |
| Information:  |                        |                     |   |                  |                  |
| Total Files Size (in bytes):  |                        |                     | 1007330   |                  |                  |
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| New Applications Under 35 U.S.C. 111<br>If a new international application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.  |                        |                     |   |                  |                  |
| National Stage of an International Application under 35 U.S.C. 371<br>If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.  |                        |                     |   |                  |                  |
| New International Application Filed with the USPTO as a Receiving Office<br>If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application. |                        |                     |   |                  |                  |